

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.

36287-00700

PTO

6172570

In Re Application Of:

David A. Seaman

Serial No.
To be assigned

Filing Date
Herewith

Examiner

Group Art Unit

Title:

METHOD AND SYSTEM FOR ADMINISTERING A DISCOUNTED SECURITY

Address to:

Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

- The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

- The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

a certification as specified in 37 CFR 1.97(e);

OR

the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

36287-00700

In Re Application Of:

David A. Seaman

U.S. PTO
JC97/09979
01/29/01

Serial No.
To be assigned

Filing Date
Herewith

Examiner

Group Art Unit
09979

Title:

METHOD AND SYSTEM FOR ADMINISTERING A DISCOUNTED SECURITY

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- A check in the amount of _____ is attached.
- The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 13-3250 as described below. A duplicate copy of this sheet is enclosed.
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Chris L. Holm, Esq.
Registration No. 39,227
Milbank, Tweed, Hadley & McCloy LLP
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New York, NY 10005-1314

Certificate of Mailing by First Class Mail

I certify that this document and fee is being deposited on January 25, 2001 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

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Hildere Jean-Louis

Dated: January 25, 2001

CC:

INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i>				Docket Number (Optional)		Application Number	
				36287-00		To be Assigned	
				Applicant(s) David A. Seaman		#2	
				Filing Date	Group Art Unit		
				Herewith			
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	 1021769679 01/25/01 PTO APPROVED
FOREIGN PATENT DOCUMENTS							
REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>							
	1	Prospectus Supplement No. 150, The Goldman Sachs Group, Inc, Medium -Term Notes, Series B, October 25, 2000					
	2	Prospectus, Holders Semiconductor, Merrill Lynch & Co., A.G. Edwards & Sons, Inc., May 4, 2000					
EXAMINER				DATE CONSIDERED			

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE/RE-CITATION <i>(Use several sheets if necessary)</i>		Docket Number (Optional)	
		36287-00	
		Application Number To be assigned	
Applicant(s) David A. Seaman		Filing Date Herewith	
*EXAMINER INITIAL		OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)	
	3	Prospectus, Pricing Supplement No. 53, Morgan, Stanley Dean Witter & Co., Medium Term Notes, Series C, March 30, 2000	
	4	Prospectus Supplement, Securities Jefferson-Pilot Corporation, Golden, Sachs & Co., Merrill Lynch & Co., November 27, 1995	
EXAMINER		DATE CONSIDERED	

***EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.**